



Memorandum

U.S. Department
of Transportation
Federal Highway
Administration
Federal Transit
Administration

Subject: ACTION: FHWA-FTA Planning Collaboration Initiative Date: JAN 9 2003

From: Jenna L. Dorn, Administrator
Federal Transit Administration *JL Dorn*
Mary E. Peters, Administrator
Federal Highway Administration *M Peters*

To: FTA Regional Administrators
FHWA Division Administrators

Reply to
Attn. of: HEP-1/TPL-1

The Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) are committed to advancing our performance and stewardship of the planning process through improved communication and collaboration. We have tasked a small team of field and headquarters (HQ) staff to facilitate development of the Planning Collaboration Initiative.

Our common goal for this initiative is to improve our customers' planning products through efficiencies in our service delivery. We believe this goal can be accomplished through strategic coordination, effective workload allocation, and reliance on one another in a strengthened partnership. This initiative also supports the President's Management Agenda and the Executive Order on Environmental Stewardship.

We are requesting your active participation in the Planning Collaboration Initiative. Your leadership is necessary to identify and act upon opportunities to improve the effectiveness of your offices in managing the metropolitan and statewide planning programs.

The topic of "How We Do Business" was the key theme of the May 2002 Planners' Meeting. FHWA and FTA participants discussed the need to improve the collective effectiveness of how they support the planning process. As a first step, an inventory was assembled of guidelines and procedures currently followed by FTA and FHWA field offices in coordination with their planning related reviews and approvals. This led to the identification of several possible areas where opportunities exist for FTA or FHWA staff to operate as agents for one another, freeing up field planners' time to concentrate on other planning priorities of their customers. Overall, the information pointed to the need

and opportunity for more collaboration between FHWA and FTA, providing a good starting point as we move forward.

An overview of this two-phase initiative is included in Attachment 1. The first phase will be the development of a National Memorandum of Understanding (MOU) outlining the concept, scope, and commitment to explore innovative approaches. We recognize that many innovative field MOUs are already in place to manage and oversee delivery of the planning process. The National MOU is meant to establish general guiding principles for customer service across the country.

Phase 2 will be comprised of field MOUs between divisional and regional offices. This may involve the revisions of existing MOU agreements and the creation of new ones, as well as field participation in pilot projects. More information on Phase 2 will be sent out at a later date.

At this time, we are requesting your participation in developing the format and content of the National MOU. Various elements that could be part of a National MOU are outlined in Attachment 2. This outline is intended to provide a framework for discussion regarding the National MOU content. In the coming weeks, the Field/HQ Team will gather your ideas through teleconference calls. A draft National MOU will then be prepared and circulated for comments. With your commitment, we plan to finalize the National MOU by July 2003.

If you have any questions please contact members of the Field/HQ Team:

Peter Butler, Peter.Butler@fta.dot.gov, FTA Region 1 Office, 617/494-2055
Larry Dwyer, Lawrence.Dwyer@fhwa.dot.gov, FHWA Vermont Division Office, 802/828-4423
David Kuehn, David.Kuehn@fhwa.dot.gov, FHWA Office of Planning, 202/366-6072
Robin Mayhew, Robin.Mayhew@fhwa.dot.gov, FHWA Office of Planning, 202/366-1454
Vincent Valdes, Vincent.Valdes@fta.dot.gov, FTA Office of Planning, 202/366-3052

Attachments

FHWA-FTA Planning Collaboration Initiative: Project Overview

Attachment 1

CHALLENGE: To deliver planning actions to our partners in a timely and consistent manner.

GOAL To improve our customers' planning products through efficiencies in our service delivery.

SOLUTION: This challenge will be met through strategic coordination, effective workload allocation, and reliance on each other in a strengthened partnership. Within the specific context of the metropolitan and statewide planning program, short and long-term strategies will be developed and implemented.

PROJECT CONCEPT: The Field/Headquarters (HQ) Team has been working in close partnership to develop the **Planning Collaboration Initiative** to identify ways of improving the collective effectiveness of our mutual planning process. The initiative will involve a two-phase approach:

PHASE 1 – Preparation of a National Memorandum of Understanding (MOU)
Developed by the field offices and signed by the Administrators, this MOU will contain general guiding principles and milestones for customer service by which FHWA and FTA will manage the metropolitan and statewide planning programs. The Phase 1 timeline is as follows:

Task	Actions	Due Dates
Task 1	Outreach to FHWA-FTA Field Offices	January 2003– April 2003
Task 2	Prepare Draft National MOU	May 2003
Task 3	Finalize National MOU	June 2003 – July 2003

PHASE 2 – Development of Field MOUs and Pilot Projects

Field MOUs – Once the National MOU is in place (July 2003), field offices will develop separate MOUs tailored to their individual issues and opportunities. Many field offices are currently operating under an MOU. This is an opportunity to revisit these documents and update them with new strategies. It should be emphasized that standardization across field MOUs is not intended nor anticipated. Instead, this project will encourage innovative and measurable strategies.

Pilot Projects – Issues such as funding, staffing, regulations, and policies may limit the ability of field offices to deliver and support planning programs effectively. Many of the improvements currently out in the field have occurred because of the leadership and ingenuity of planners and managers in field offices. They have found innovative ways of maximizing their available resources. This is an opportunity to explore and try new strategies (some perhaps involving institutional or legislative change) to shape the future of FHWA and FTA. Field offices will be asked to suggest and develop pilot projects that can provide significant improvement in the delivery of our programs.

FIELD/HQ TEAM: For further information, contact:

Peter Butler, FTA Region I Regional Office, 617-494-2055, Peter.Butler@fta.dot.gov
Larry Dwyer, FHWA Division Office, 802-828-4423, Lawrence.Dwyer@fhwa.dot.gov
David Kuehn, FHWA Office of Planning, 202-366-6072, David.Kuehn@fhwa.dot.gov
Robin Mayhew, FHWA Office of Planning, 202-366-1454, Robin.Mayhew@fhwa.dot.gov
Vincent Valdes, FTA Office of Planning, 202-366-3052, Vincent.Valdes@fta.dot.gov

FHWA-FTA Planning Collaboration Initiative: Outline of a National Memorandum of Understanding

Attachment 2

NATIONAL MEMORANDUM OF UNDERSTANDING BETWEEN THE FEDERAL TRANSIT ADMINISTRATION AND THE FEDERAL HIGHWAY ADMINISTRATION

PURPOSE OF THE AGREEMENT

A National Memorandum of Understanding (MOU) will establish guiding principles between FHWA and FTA staff in the delivery of the metropolitan and statewide transportation planning programs. The goal of this effort is to improve our customers' planning products through efficiencies in our service delivery.

CONTENT

At a minimum, the National MOU will consider actions related to:

- Statewide Transportation Improvement Program (STIP) approval;
 - STIP Amendment approval;
 - Issuance of Statewide and Metropolitan Planning Findings;
 - Unified Planning Work Program (UPWP) approval;
 - UPWP Amendment approval;
 - Transportation Air Quality Conformity Determination;
 - Transportation Management Area (TMA) Certification Reviews;
 - Follow up on corrective actions resulting from Certification Reviews;
 - Methods for communication between FHWA and FTA;
 - Procedures for monitoring customer service in planning program delivery and oversight; and
 - Other areas as identified by field offices.
-